

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT

In Re Application of:

Sheldon H. Foss, Jr.

Serial No.: 10/646,150

Filed: 22 August 2003

Confirmation No.: 8917

Group Art Unit: 3624

Examiner: Karmis

Docket No.: 03001.1020

For: SYSTEM AND METHOD FOR DYNAMICALLY MANAGING A FINANCIAL ACCOUNT

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Sir:

This information disclosure statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97, and 1.98, and specifically:

- ☒ under 37 CFR 1.97(b), or
(within Three months of filing national application; or date of entry of international application; or before
mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:
☐ Statement Under 37 C.F.R. 1.97(e), or
☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97(b) time period, but before the final office action or notice of allowance, whichever
occurs first)
- ☐ under 37 CFR 1.97(d) together with a:
☐ Statement under 37 CFR 1.97(e), and
☐ a \$180.00 petition fee set forth in 37 CFR 1.17(p).
(Filed after final office action or notice of allowance, whichever occurs first, but before payment of the
issue fee)

Enclosed is a check in the amount of \$.

Enclosed is Credit Card Payment Form (PTO-2038) in the amount of \$-----.

Please charge \$. to deposit account .

At any time during the pendency of this application, please charge any fees required to Deposit Account 50-3479 pursuant
to 37 CFR 1.25. The Commissioner is hereby requested to credit any overpayment to Deposit Account No. 50-3479.

- ☒ Applicant(s) submit herewith *Form PTO/SB/08A (07/05) (substitute for form 1449/PTO) - Information Disclosure Statement by Applicant* together with copies (where required) of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may or may not be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56. As required by 37 C.F.R. §1.98(a), a legible copy of each document is provided.

- ☐ A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on FORM PTO/SB/08A, as presently understood by the individual(s) designated in 37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent

is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on the form PTO 1449 and is enclosed herewith.

The following rights are reserved by the Applicant(s): the right to establish the patentability of the claimed invention over any of the listed documents should they be applied as reference, and/or the right to prove that some of these documents may not be prior art, and/or the right to prove that some of these documents may not be enabling for the teachings they purport to offer.

This statement should not be construed as a representation that an exhaustive search has been made, or that information more material to the examination of the present application does not exist. Any statements or identifications regarding the relevance of any portion(s) of cited references should not be construed as a representation that the most relevant portion(s) have been identified, and the absence of such statements or identifications should not be construed as representations that there are no relevant portion(s). The Examiner is specifically requested not to rely solely on the materials submitted herewith. The Examiner is requested to conduct an independent and thorough review of the documents, and to form independent opinions as to their significance.

It is requested that the information disclosed herein be made of record in this application and that the Examiner initial and return a copy of the enclosed PTO/SB/08A to indicate the documents have been considered.

Respectfully Submitted,

SMITH FROHWEIN TEMPLE GREENLEE BLAHA LLC

By:


Eric M. Ringer, Reg. No. 47,028

P.O. BOX 88148
Atlanta, GA 30356

404 815 - 9300 (main number)
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1

of 11

Complete if Known

Application Number	10/646,150
Filing Date	22 August 2003
First Named Inventor	Sheldon H. Foss, Jr.
Art Unit	3624
Examiner Name	Karmis, Stefanos
Attorney Docket Number	03001.1020

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Column, Line, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	A-1	US-4,104,515		Thornburg et al.	
	B-1	US-4,360,727		Roger Lehmann	
	C-1	US-4,417,138		Horst Pfeiffer	
	D-1	US-4,689,478		Hale et al.	
	E-1	US-4,694,397		Grant et al.	
	F-1	US-4,774,663		Musmanno et al.	
	G-1	US-4,877,947		Mori	
	H-1	US-4,877,950		Halpern	
	I-1	US-5,175,416		Mansvelt et al.	
	J-1	US-5,428,684		Akiyama et al.	
	K-1	US-5,436,971		Armbrust et al.	
	L-1	US-5,557,516		Hogan	
	M-1	US-5,572,004		Raimann	
	N-1	US-5,577,121		Davis et al.	
	Q-1	US-5,621,796		Davis et al.	
	P-1	US-5,637,845		Kolls	
	Q-1	US-5,692,132		Hogan	
	R-1	US-5,705,798		Tarbox	
	S-1	US-5,811,771		Delhoff	

FOREIGN PATENT DOCUMENTS:

[illegible]

Examiner Signature	Date Considered
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EXAMINER: Initial I references considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). * See *Kind of Document* of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. * Enter Office that issued the document, by the two-letter code (WIPO Standard ST 3). * For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. * Kind of document, by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. * Applicant is to place a check mark here if English language. Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to be (or may be) used by the USPTO to process an application. Confidentiality is governed by 35 U.S.C. 112 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Sheet	2	of	11
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First Named Inventor	Sheldon H. Foss, Jr.
Art Unit	3624
Examiner Name	Karmis, Stefanos
Attorney Docket Number	03001.1020

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		Number-Kind Code ² (if known)			
	T-1	US 5,834,757		Fernandes et al.	
	U-1	US 5,864,830		Armetta et al.	
	V-1	US 5,914,472		Foldare et al.	
	W-1	US 5,924,084		De Rooij	
	X-1	US 5,936,221		Corder et al.	
	Y-1	US 5,943,423		Mufic	
	Z-1	US 5,987,439		Guelin et al.	
	A-2	US 6,016,955		De Rooij et al.	
	B-2	US 6,045,050		Ippolito et al.	
	C-2	US 6,047,888		Dethloff	
	D-2	US 6,062,472		Cheung	
	E-2	US 6,105,007		Norris	
	F-2	US 6,119,946		Teicher	
	G-2	US 6,126,069		Stiefel et al.	
	H-2	US 6,129,275		Urquhart et al.	
	I-2	US 6,138,907		Mori et al.	
	J-2	US 6,142,368		Mullins et al.	
	K-2	US 6,142,369		Jonsdóttir	
	L-2	US 6,152,365		Kolis	

FOREIGN PATENT DOCUMENTS

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Examiner Signature	Date Considered
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INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

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Sheet 3

of 11

Application Number	10/646,150
Filing Date	22 August 2003
First Named Inventor	Sheldon H. Foss, Jr.
Art Unit	3624
Examiner Name	Kammis, Stefanos
Attorney Docket Number	03001.1020

U. S. PATENT DOCUMENTS						
Examiner Initials*	Cite No.	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)				
	M-2	US-	6,167,387		Leo-Wai-Yin	
	N-2	US-	6,173,269		Soloki et al.	
	O-2	US-	6,243,688		Kalina	
	P-2	US-	6,279,824		Park	
	Q-2	US-	6,293,462		Gangi	
	R-2	US-	6,295,522		Boesch	
	S-2	US-	6,394,343		Berg et al.	
	T-2	US-	6,439,456		Bansal et al.	
	U-2	US-	6,450,407		Freeman et al.	
	V-2	US-	6,505,171		Cohen et al.	
	W-2	US-	6,507,644		Henderson et al.	
	X-2	US-	5,025,138		Vincent Cuaro	
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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	1*
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				

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INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

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Sheet 4

of 11

Application Number	10/646,150
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First Named Inventor	Sheldon H. Foss, Jr.
Art Unit	3624
Examiner Name	Karmis, Stefanos
Attorney Docket Number	03001.1020

U. S. PATENT DOCUMENTS

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		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
	N-3	US- 2001/0011249		Yanagihara et al.	
	O-3	US- 2001/0013018		Awano	
	P-3	US- 2001/0032878		Tsounis et al.	
	Q-3	US- 2001/0034722		Tidball et al.	
	R-3	US- 2001/0037299		Nichols et al.	
	S-3	US- 2001/0042784		Fife et al.	
	T-3	US- 2001/0045454		Gangi	
	U-3	US- 2002/0002533		Singhal	
	V-3	US- 2002/0020738		Campbell et al.	
	W-3	US- 2002/0040925		Weber	
	X-3	US- 2002/0068849		Nichols et al.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.	Foreign Patent Document Country Code ³ Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	1*

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STATEMENT BY APPLICANT**

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Sheet 6

of 11

Complete if Known

Application Number	10/646,150
Filing Date	22 August 2003
First Named Inventor	Sheldon H. Foss, Jr.
Art Unit	3624
Examiner Name	Karmis, Stefanos
Attorney Docket Number	03001.1020

U. S. PATENT DOCUMENTS

U. S. PATENT DOCUMENTS			
Examiner Initials*	Cite No.†	Document Number Number-Kind Code* (if known)	Publication Date MM-DD-YYYY
		Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	A-6	US- 4718009	Vincent Cuenvo
	B-6	US- 4742457	Tomas Leon et al
	C-6	US- 5010485	Steven T. Bigler†
	D-6	US- 5025138	Vincent Cuenvo
	E-6	US- 5025372	James F. Burton
	F-6	US- 5262941	Emery F. Saladin et al
	G-6	US- 5297026	Frank Hoffman
	H-6	US- 5710889	Barry Alan Clark
	I-6	US- 5845260	Hiroaki Nakano
	J-6	US- 5870724	Matthew P. Lawlor et al
	K-6	US- 5890140	Barry Alan Clark
	L-6	US- 5940811	Jeffrey Norris
	M-6	US- 6105865	Laurence Daniel Hardesty
	N-6	US- 6354490	Lawrence Weiss
	O-6	US- 6560581	Barbara L. Fox
	P-6	US- 6587841	James R. DeFrancesco
		US-	
		US-	
	S-6	US- 2001/0007332	Donald W. Kjonas et al

FOREIGN PATENT DOCUMENTS

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Sheet 7

of 11

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Application Number	10/646,150
Filing Date	22 August 2003
First Named Inventor	Sheldon H. Foss, Jr.
Art Unit	3624
Examiner Name	Karmis, Stefanos
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U. S. PATENT DOCUMENTS

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	T-6	US- 2001/0013545		Edward J. Hogan	
	U-6	US- 2001/0029489		George Brockner et al	
	V-6	US- 2001/0034722		Thomas H. Tidball et al	
	W-6	US- 2001/0037299		Henry R. Nichols et al	
	X-6	US- 2002/0088849		Henry R. Nichols et al	
	Y-6	US- 2002/0117541		Lynne Bigger et al	
	Z-6	US- 2002/0125310		Klaus Kursawe	
	A-7	US- 2002/0138447		Joseph T. Van Leeuwen	
	B-7	US- 2002/0198825		Karl E. Jentoft	
		US-			
		US-			
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Sheet 8

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		Number-Kind Code ² (Patient)			
A-B	US-	4001550		Vernon L. Schatz	
B-B	US-	4346442		Thomas E. Musmanno	
C-B	US-	4376978		Thomas E. Musmanno	
D-B	US-	4689478		William J. Hale et al	
E-B	US-	4694397		David J. Grant	
F-B	US-	4755940		Bruno Braschi et al	
G-B	US-	4774663		Thomas E. Musmanno et al	
H-B	US-	4879455		Nathan I. Butterworth et al	
I-B	US-	5025138		Vincent Cuervo	
J-B	US-	5025372		James F. Burton et al	
K-B	US-	5231569		Larry H. Myrtil et al	
L-B	US-	5420405		Norman E. Chasek	
M-B	US-	5444616		Parameswaran B. Nair et al	
N-B	US-	5457305		William S Akal et al	
O-B	US-	5475585		Thomas A. Bush	
P-B	US-	5485510		Raymond O. Colbert	
Q-B	US-	5504677		Robert E. Pollin	
R-B	US-	5511023		Hartmut Schrenk	
S-B	US-	5536045		Thomas W. Adams	

FOREIGN PATENT DOCUMENTS

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Examiner Signature		Date Considered	
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	10/646,150
Filing Date	22 August 2003
First Named Inventor	Sheldon H. Foss, Jr.
Art Unit	3624
Examiner Name	Karnis, Stefanos
Attorney Docket Number	03001.1020

Sheet 9 of 11

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ^{2,3,4,5,6,7}			
	T-8	US-5559887		Terry L. Davis et al	
	U-8	US-5644118		Shoji Hayashida	
	V-8	US-5652788		Catherine R. Rogers	
	W-8	US-5689100		David C. Carrithers	
	X-8	US-5705798		Andrew W. Tarbox	
	Y-8	US-5732136		David L. Murphee	
	Z-8	US-5770843		Menning I. Rose	
	A-9	US-5815657		Humphrey Williams et al	
	B-9	US-5870456		Catherine R. Rogers	
	C-9	US-5884289		Douglas D. Anderson et al	
	D-9	US-5914472		Mark Jeffrey Foliodare et al	
	E-9	US-5952639		Masayuki Ohku	
	F-9	US-5953710		Stephen S. Fleming	
	G-9	US-5955961		Robert S. Wallerstein	
	H-9	US-5984192		Enio Calcevava, Jr et al	
	I-9	US-6010067		Hector Daniel Elbaum	
	J-9	US-6065675		Mordochai Teicher	
	K-9	US-6095411		Harmut Schrenk	
	L-9	US-6105007		Jeffrey A. Norris	

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**INFORMATION DISCLOSURE
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Sheet **10** of **11****Complete if Known**

Application Number	10/646,150
Filing Date	22 August 2003
First Named Inventor	Sheldon H. Foss, Jr.
Art Unit	3624
Examiner Name	Karmia, Stefanos
Attorney Docket Number	03001.1020

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (If known)			
	M-9	US- 6105862		Jean-Claude Pailles et al	
	N-9	US- 6243688		Dyan T. Kalins	
	O-9	US- 6293462		Frank J. Gangl	
	P-9	US- 6325292		Richard P. Sehr	
	Q-9	US- 6327578		Mark Linehan	
	R-9	US- 6422462		Morris E. Cohen	
	S-9	US- 6488206		Mark S. Fleig et al	
	T-9	US- 6505772		Cassandra J. Mollett et al	
	U-9	US- 6527192		Randee-Lisa Altshul et al	
	V-9	US- 6578761		Donald Spector	
	W-9	US- 6601771		Phillipe A. Charrin	
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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet **11**of **11****Complete if Known**

Application Number	10/646,150
Filing Date	22 August 2003
First Named Inventor	Sheldon H. Foss, Jr.
Art Unit	3624
Examiner Name	Kamris, Stefanos
Attorney Docket Number	03001.1020

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
		US-			
		US-			
	H10	US- 2001/0013018		Koichi Awano	
	I10	US- 2001/0034722		Thomas H. Tidball	
	J10	US- 2001/0037299		Henry R. Nichols	
	K10	US- 2001/0045454		Frank J. Gangi	
	L10	US- 2002/0002533		Tara Chand Singhal	
	M10	US- 2002/0002534		Terry L. Davis et al	
	N10	US- 2002/0020738		Bernard Joseph Campbell et al	
	O10	US- 2002/0033417		Jae-Sung Jeon	
	P10	US- 2002/0040925		Juergen Weber	
	Q10	US- 2002/0088849		Henry R. Nichols et al	
	R10	US- 2002/0161705		Sajid Ali Mirza Khan et al	
	S10	US- 2003/0075610		Yong Kin Ong	
		US-			
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Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear
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